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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.

337348020US4

First Inventor

Andrew D. Firlik

Title

METHODS AND APPARATUS FOR EFFECTUATING A CHANGE IN  
A NEURAL-FUNCTION OF A PATIENT

Express Mail Label No.

EL669035955US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages  ]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets  ]
5. Oath or Declaration [Total Pages  ]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Box Patent Application  
Commissioner for Patents  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 C.F.R. §3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other:

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation☐ Divisional☒ Continuation-in-part (CIP)

of prior application No: 09 / 802,808 filed 3/8/2001

Prior application information:

Examiner

Group / Art Unit:

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☐ Claims the benefit of \_\_\_\_\_ Application No. \_\_\_\_\_**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

25096

PATENT TRADEMARK OFFICE

Name (Print/Type)	Paul T. Parker	Registration No. (Attorney/Agent)	38,264
Signature		Date	February 7, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew D. Firlik, Alan J. Levy, and Bradford Evan Gliner  
 Title : METHODS AND APPARATUS FOR EFFECTUATING A  
 CHANGE IN A NEURAL-FUNCTION OF A PATIENT  
 Docket No. : 337348020US4  
 Date : February 7, 2002

Box Patent Application  
 Commissioner for Patents  
 Washington, DC 20231

AUTHORIZATION FOR EXTENSIONS OF TIME UNDER 37 C.F.R. § 1.136(a)(3)  
AND FEE TRANSMITTAL

Sir:

With respect to the above-identified application, the Commissioner is authorized to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time. The Commissioner is also authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-0665.

With respect to the above-identified application, the fee is calculated below.

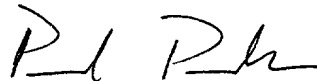
Applicants claim small entity status (see 37 CFR § 1.27).

For	Number filed	Number extra		Rate		
Basic Fee						\$ 370
Total Claims	33	13	X	\$ 9	=	\$ 117
Independent Claims	11	8	X	\$ 42	=	\$ 336
Assignment				\$ 40	=	\$ 40
TOTAL FILING FEE						\$ 863

The Commissioner is hereby authorized to charge Deposit Account No. 50-0665 in the amount of \$863 to cover the requisite fees.

The Commissioner is additionally authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required, or credit any overpayment, to Deposit Account No. 50-0665. A duplicate copy of this request is enclosed.

Date February 7, 2002

  
\_\_\_\_\_  
Paul T. Parker  
Registration No. 38,264

PTP:ri

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